

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK**

HARRINGTON GLOBAL OPPORTUNITY  
FUND, LIMITED,

Plaintiff,

v.

CIBC WORLD MARKETS CORP.; CIBC  
WORLD MARKETS INC.; BANK OF  
AMERICA SECURITIES, INC.; MERRILL  
LYNCH CANADA INC.; MERRILL LYNCH  
PROFESSIONAL CLEARING CORP.; TD  
SECURITIES, INC.; TD SECURITIES(USA)  
LLC; CORMARK SECURITIES, INC.; UBS  
FINANCIAL SERVICES, INC.; UBS  
SECURITIES CANADA, INC.; SOCIETE  
GENERALE CAPITALE CANADA, INC.; SG  
AMERICAS SECURITIES, LLC; AND JOHN  
DOES 1 THROUGH 10,

Defendants.

Case No. 1:21-cv-00761-LGS

Hon. Lorna G. Schofield

**DEFENDANT BOFA  
SECURITIES, INC.'S  
RULE 7.1 CORPORATE  
DISCLOSURE STATEMENT**

Pursuant to Federal Rule of Civil Procedure 7.1, Defendant BofA Securities, Inc., by and through its undersigned counsel, hereby states as follows:

BofA Securities, Inc., is a direct, wholly owned subsidiary of NB Holdings Corporation, which is a direct, wholly owned subsidiary of Bank of America Corporation. Bank of America Corporation is a publicly held company whose shares are traded on the New York Stock Exchange and has no parent corporation. Based on the U.S. Securities and Exchange Commission Rules regarding beneficial ownership, Berkshire Hathaway Inc., 3555 Farnam Street, Omaha, Nebraska 68131, beneficially owns greater than 10% of Bank of America Corporation's outstanding common stock.

Dated: June 4, 2021  
New York, New York

Respectfully submitted,

By: /s/ Abby F. Rudzin  
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Lynch Canada Inc., and Merrill Lynch Professional  
Clearing Corp.*